

PTO/SB/21 (02-04) (AW 02/2004)

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ifw 2872

**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission 4 +
European Search Report + 4 references

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|----------------------|-----------------------|
| Application Number | 10/089,998 |
| Filing Date | July 30, 2002 |
| First Named Inventor | Hideki Hayashi et al. |
| Art Unit | 2872 |
| Examiner Name | A. C. Lavarlas |
| Attorney Docket No. | MTS-3326US |

ENCLOSURES (Check all that apply)

- ☐ Fee Transmittal Form
☐ Fee Attached
- ☐ Amendment/Reply
☐ After Final
☐ Affidavits/Declaration(s)

- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/
Incomplete Application
- ☐ Response to Missing Parts under
37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a
Provisional Application
- ☐ Power of Attorney, Revocation,
Change of Correspondence
Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication
to Group
- ☐ Appeal Communication to Board
of Appeals and Interferences
- ☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply
Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please
identify below):
- PTO Form 1449, 4 references,
return postcard**

Remarks:**SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

| | | | |
|-------------------------------|--------------|-----------------------------------|--------|
| Firm or Individual Name | Allan Ratner | Registration No. (Attorney/Agent) | 19,717 |
| Signature | | | |
| Date | May 24, 2004 | | |

CERTIFICATE OF TRANSMISSION / MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date:

| | | | |
|--------------------------|---------------|------|--------------|
| Typed or printed name | Fran Petrillo | Date | May 24, 2004 |
| Signature | | | |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Office, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, ALEXANDRIA, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



MTS-3326US

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 10/089,998
Applicant: Hideki Hayashi et al.
Filed: July 30, 2002
Title: LENS, OPTICAL HEAD, OPTICAL INFORMATION
WRITING/READING APPARATUS AND OPTICAL INFORMATION
RECORDING MEDIUM WRITING/READING METHOD

TC/A.U.: 2872
Examiner: Arnel C. Lavarias
Confirmation No.: 5820
Docket No.: MTS-3326US

SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO 1449 (R&P) submitted herewith. A copy of each of the listed references is also enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

The following references were previously submitted with the Supplemental Information Disclosure Statement filed January 7, 2003:

- 1) EP 0 874 359
- 2) EP 0 851 415
- 3) US 5,808,993

- 4) US 6,052,355
- 5) EP 0 865 037
- 6) EP 0 881 634
- 7) JP 09-145995

No first Official Action has yet been received and it is presumed that none has yet been mailed. No fee or statement is required. 37 C.F.R. § 1.97(b).

Respectfully submitted,



Alan Ratner, Reg. No. 19,717
Attorney for Applicants

AR/fp

Enclosures: European Search Report
PTO Form 1449 (2 sheets)
Copies of (4) References

Dated: May 24, 2004

P.O. Box 980
Valley Forge, PA 19482
(610) 407-0700

The Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. **18-0350** of any fees associated with this communication.

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May 24, 2004



Substitute for Form 1449/PTO

Complete if Known

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

SHEET 1 of 2

| | |
|----------------------|-----------------------|
| Application Number | 10/089,998 |
| Filing Date | July 30, 2002 |
| First Named Inventor | Hideki Hayashi et al. |
| Art Unit | 2872 |
| Examiner Name | Arnel C. Lavarlas |
| Attorney Docket No. | MTS-3326US |

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date (MM-DD-YYYY) | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
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FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date (MM-DD-YYYY) | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
|-----------------------|--------------------------|---|----------------------------------|---|--|--------------------------|
| | | Country Code ³ - Number ⁴ - Kind Code ⁵ (if known) | | | | |
| | | EP 0 859 357 A | 08/19/98 | SONY CORP | | <input type="checkbox"/> |
| | | EP 0 610 055 A | 08/10/94 | MATSUSHITA ELEC IND CO LTD | | <input type="checkbox"/> |
| | | EP 0 818 781 A | 01/14/98 | KONISHIROKU PHOTO IND | | <input type="checkbox"/> |
| | | EP 0 962 921 A | 12/08/99 | KONISHIROKU PHOTO IND | | <input type="checkbox"/> |
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| Examiner Signature | | Date Considered | |
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

¹Applicant's unique citation designation number (optional).

²See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.

³Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

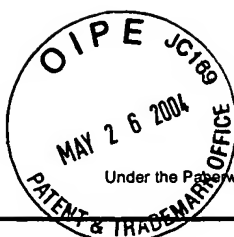
⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

⁶Applicant is to place a check mark here if English language translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

SHEET 2 of 2

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| Art Unit | 2872 |
| Examiner Name | Arnel C. Lavarrias |
| Attorney Docket No. | MTS-3326US |

NON-PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | T ² |
|-----------------------|--------------------------|--|--------------------------|
| | | European Search Report for EP 00 96 4666, dated April 5, 2004. | <input type="checkbox"/> |
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| Examiner Signature | | Date Considered | |
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¹Applicant's unique citation designation number (optional).

²Applicant is to place a check mark here if English language translation is attached.

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